

## Assignment

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, each undersigned inventor has sold and assigned, and by these presents hereby sells and assigns, unto The Regents of the University of California, (hereinafter ASSIGNEE), with offices at 1111 Franklin Street, Oakland, CA 94607-5200, effective on the date indicated next to my name, all right, title and interest in and to his invention relating to

### ***CATHETER-BASED MID-INFRARED REFLECTANCE AND REFLECTANCE GENERATED ABSORPTION SPECTROSCOPY***

as set forth in his United States Patent Application

executed concurrently herewith

executed \_\_\_\_\_

Serial No. \_\_\_\_\_ filed \_\_\_\_\_

in and to said United States Patent Application including any and all divisions or continuations thereof and in and to any and all Letters Patent of the United States which may issue on any such application or for said invention, including any and all reissues or extensions thereof and all applications for Letters Patent which may hereafter be filed for said invention in any country or countries foreign to the United States, and all Letters Patent which may be granted for said invention in any country or countries foreign to the United States and all divisions, continuations, additions, extensions, renewals and reissues thereof and all rights of priority in any such country or countries based upon the filing of the said application for Letters Patent of the United States which are created by any law, treaty or international convention; to be held and enjoyed by said ASSIGNEE, its successors, legal representatives and assigns to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by the undersigned had this Assignment not been made;

Each of the undersigned hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all such Letters Patent to said ASSIGNEE, its successors or assigns in accordance herewith;

Each of the undersigned warrants and covenants that he has the full and unencumbered right to sell and assign the interests herein sold and assigned and that he has not executed and will not execute any document or instrument in conflict herewith;

95-286-213

Attorney Docket No.: LBNL-238-US

Worldwide Rights -- Sole or Joint

Each of the undersigned further covenants and agrees that at any time upon request of said ASSIGNEE, its successors, legal representatives or assigns he will communicate to said ASSIGNEE, its successors, legal representatives or assigns all information known to him relating to said invention or patent application and that he will execute and deliver any papers, make all rightful oaths, testify in any legal proceedings and perform all other lawful acts deemed necessary or desirable by said ASSIGNEE, its successors, legal representatives or assigns to perfect title to said invention, to said application including divisions, continuations, reissues, extensions, additions and renewals thereof and to any and all Letters Patent which may be granted therefor or thereon, in said ASSIGNEE, its successors, or assigns or to assist said ASSIGNEE, its successors, legal representatives or assigns in obtaining, reissuing or enforcing Letters Patent for said invention;

Each of the undersigned hereby grants to the power to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

Names and Signatures of Inventors:

Signature: Hoi-Ying Holman  
Hoi-Ying N. HOLMAN

June 8, 2006  
Date of this Assignment

**FULBRIGHT & JAWORSKI L.L.P.**  
**666 FIFTH AVENUE**  
**NEW YORK, NEW YORK 10103**

Docket No.

LBNL-238-US (IB-1867-US)

**Declaration for Patent Application  
English Language Declaration**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**CATHETER-BASED MID-INFRARED REFLECTANCE AND REFLECTANCE GENERATED ABSORPTION SPECTROSCOPY**

the specification of which (check one)

Is attached hereto.

was filed on \_\_\_\_\_ U. S. Serial No: \_\_\_\_\_

And was amended on \_\_\_\_\_ (if applicable). \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign applications(s) for patent or inventor's certificate, or Section 365(a) of any PCT international application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT international application having a filing date before that of the application on which priority is claimed.

**Prior Foreign Application(s)**

Priority Not  
Claimed

\_\_\_\_\_ (Number)

\_\_\_\_\_ (Country)

\_\_\_\_\_ (Filing Date)

\_\_\_\_\_ (Number)

\_\_\_\_\_ (Country)

\_\_\_\_\_ (Filing Date)

\_\_\_\_\_ (Number)

\_\_\_\_\_ (Country)

\_\_\_\_\_ (Filing Date)

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

60/529,073 (Application Serial No.)	December 11, 2003 (Filing Date)
(Application Serial No.)	(Filing Date)
(Application Serial No.)	(Filing Date)

I hereby claim the benefit under 35 U.S.C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. Section 112. I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, CFR, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

PCT/US04/41428 (Application Serial No.)	December 10, 2004 (Filing Date)	Pending (Status) (patented, pending, abandoned)
(Application Serial No.)	(Filing Date)	(Status) (patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Send Correspondence to: James R. Crawford  
CUSTOMER NO. 24972  
Fulbright & Jaworski L.L.P.  
666 Fifth Avenue  
New York, New York 10103

Customer No: 24972

Direct Telephone Calls to: James R. Crawford, 212-318-3148

Full name of first Inventor, if any

Hoi-Ying N, HOLMAN

First Inventor's signature

Hoi-Ying Holman

Date

June 8, 2006

Resident

975 Sunnyhills Road, Oakland, CA. 94610

Citizenship U.S.

Post Office Address

SAME AS ABOVE

10/582422

AP20 Rec'd PCT/PTO 09 JUN 2006

IB-1867 US)

PTO/SB/96 (08-03)

Approved for use through 07/31/2008. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: \_\_\_\_\_

Application No./Patent No.: \_\_\_\_\_ Filed/Issue Date: \_\_\_\_\_

Entitled: **CATHETER-BASED MID-INFRARED REFLECTANCE AND REFLECTANCE GENERATED  
ABSORPTION SPECTROSCOPY**

The Regents of the University of California, a \_\_\_\_\_ Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1.  the assignee of the entire right, title, and interest; or
2.  an assignee of less than the entire right, title and interest.

The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment  
was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_  
Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current  
assignee as shown below:

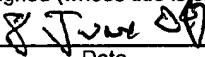
1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

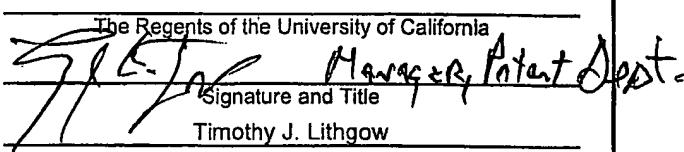
Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original  
document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the  
assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

  
\_\_\_\_\_  
Date

510-495-2839  
\_\_\_\_\_  
Telephone Number

  
\_\_\_\_\_  
The Regents of the University of California  
\_\_\_\_\_  
Signature and Title  
\_\_\_\_\_  
Timothy J. Lithgow

**Statement By Assignee to Establish Ownership (37 CFR 3.73(b))**

I hereby certify that this correspondence is being sent by facsimile to 1-571-273-8300 addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: \_\_\_\_\_ Signature: \_\_\_\_\_ (Eileen Sheffield)

65-110398  
JUL 8 2008

PTO/SB/81 (01-06)

Approved for use through 12/31/2008. OMB 0851-0035

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**POWER OF ATTORNEY  
and  
CORRESPONDENCE ADDRESS  
INDICATION FORM**

Application Number	
Filing Date	
First Named Inventor	Holman
Title	CATHETER-BASED MID-INFRARED.....SPECTROSCOPY
Art Unit	
Examiner Name	
Attorney Docket No.	LBNL-238-US (IB-1867 US)

I hereby appoint:

Practitioners associated with the Customer Number: 24972

OR

Practitioner(s) named below:

Name	Registration Number	Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

The address associated with the above-mentioned Customer Number:

OR

The address associated with Customer Number: 24972

OR

<input type="checkbox"/> Firm or Individual Name	
--	--

Address

City

State

Zip

Country

Telephone

Email

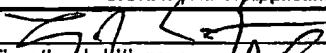
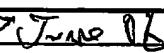
I am the:

Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.

*Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)*

**SIGNATURE of Applicant or Assignee of Record**

Signature		Date	
Name	Timothy J. Lithgow	Telephone	

Title and Company **Manager - Patent Department - Lawrence Berkeley National Laboratory**

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

\*Total of \_\_\_\_\_ forms are submitted.